Docket: 1211 DIV

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

James F. McGuckin, Jr., et al

Serial No:

To Be Assigned

(Div of 09/877,639)

Examiner:

Thanh

Filed:

Herewith

Group Art Unit: 3764

For:

VASCULAR DEVICE FOR VALVE LEAFLET APPOSITION

Commissioner For Patents P.O. Box 1450 Alexandria VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

In accordance with Applicant's duty of disclosure under 37 C.F.R §1.56, Applicants submit the enclosed PTO 1449 for the Examiner's consideration.

It is respectfully requested that the reference(s) listed on Form PTO-1449 be considered during Examination of the above-identified application and made of record therein. This submission is believed to be in compliance with 37 C.F.R. §1.97 and 37 C.F.R. §1.98. Copies of the references previously cited by or submitted to the Patent and Trademark Office in parent application serial no. 09/877,639, filed June 8, 2001, are not provided herein pursuant to MPEP Section 609.

The citation of the listed item(s) is not a representation that it constitutes a complete or exhaustive listing of prior art or that it constitutes prior art. The item(s) listed is/are submitted in good faith, but is/are not intended to substitute for the Examiner's search. It is hoped, however, that in addition to apprising the Examiner, it will assist the Examiner in identifying fields of search and in making as full and complete a search as possible.

The filing of this information disclosure statement is not an admission that the information cited herein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b).

- (X) This information disclosure statement is being filed within three (3) months of the filing date of this application.
- () This information disclosure statement is being filed within three (3) months of the date of entry of the national stage as set forth in 37 C.F.R.§ 1.491 in an international application.
- (X) To the best of Applicant(s) knowledge, this information disclosure statement is being filed before the date of mailing of a first Office Action in connection with this case.
 - () Enclosed is a certificate under 37 C.F.R. §1.97 (e)(i).
 - () Enclosed is a petition under 37 C.F.R. §1.97 (d)
- () Please charge the petition fee of \$130.00 required under 37 C.F.R. §1.17 (i)(1) to Deposit Account No. 501567
- () As set forth in 37 C.F.R. §1.97 (c), to the best of Applicant(s) knowledge, this information disclosure statement is being filed before either the mailing of a final action under 37 C.F.R.§1.113 or the mailing of a notice of allowance under 37 C.F.R. §1.113, and is accompanied by the \$240.00 fee as provided for in 37 C.F.R. §1.17(p).
- () Please charge the \$240.00 fee required by 37 C.F.R. §1.17(p) to Deposit Account No. 501567.
- (X) Please charge any deficiency as well as any other fee(s) which may become due under 37 C.F.R. §1.16 and/or 37 C.F.R. §1.17 at any time during the pendency of this application, or credit any overpayment of such fee(s) to Deposit Account 501567. Also, in the event any extensions of time for responding are required for the pending application(s), please treat this paper as a petition to extend time as required and charge Deposit Account No. 501567 therefor. TWO COPIES OF THIS SHEET ARE ENCLOSED.

Early and favorable consideration of the case is respectfully requested.

Dated: // 27/04

Neil D. Gershon

Registration No. 32,225 Attorney for the Applicants

Rex Medical, L.P. 2023 Summer St. Suite 2 Stamford, CT. 06905

										RTMENT O						7 3	SER	IAL 1	NO.
COMMERC	Æ	PA:	LL	4.T.	AN	שו	TRA	ADE	:M/	ARK OFFIC	Œ	1211 DIV				т	o R	ρ λ ςς	signed
							ISC									(D:	ΙV	of	_
	ST	ATE	CME	CNT	' B	Y	APF	LT	CA	MT						09,	/87	7,639	9)
(Use	sev	er	al	sì	nee	ets	i:	f r	ne	cessary)									
											_	APPLICANT							
												James F. McGuckin,	Jr., et	al					
												FILING DATE				GRO	OUP	Art	Unit:
												Herewith					Un	knowr	ı
		-									1	U.S. PATENT DOCUMENT							
XAMINER	1			200	~										T				G DATE
NITIALS						MEN BEI				DATE		NAME		CLAS	SS	UBCLAS		_	F PRIATE
		5		4	7	3	8	9	C	9/15/92	1	Lane		 	+		+	IFFIO	FKIAIL
		5					9			9/27/94	1	Pavenik, et al		<u> </u>	\top		+		
	↓_	5		5	8	5	1	_		0/25/94		Camilli			$oldsymbol{oldsymbol{oldsymbol{oldsymbol{\Box}}}$				
·	<u> </u>	5	3	7	_	6		2	_	2/27/94		Cottenceau, et al			\bot		\perp		
	<u> </u>	5	3		5			0		3/07/95	_	Simon, et al		↓	4		_		
	╂─	5		4		2	_	0		03/19/96 08/13/96		Quijano, et al Hess, et al		 	\dashv		+		
	┢╌	5	5	9	$\frac{3}{1}$	1	-	7		1/07/97		Orth, et al		 	+		-		
*****	\vdash	5			3			7		1/14/97		Rhodes		 	+		┿		
	\vdash	5			9		1.	8		3/11/97	_	Laufer, et al		 	十		+		
-		5	6	7	4	_				0/07/97		Wright, et al			-†-				
			-							F	O	REIGN PATENT DOCUMENTS	· · · · · · · · · · · · · · · · · · ·	•					
		Т							_	<u> </u>		<u> </u>	· · · · · · · · · · · · · · · · · · ·	<u> </u>				N N N T O T	
				D	OC.	UMI	ENT			DATE		COUNTRY	CT.Z	ASS S	ans	CLASS	TF	KANSL	NOITA
		-				MB			-	21112		COUNTRY		100	,00	CLINDS	İ		
																İ		YES	NO
	NO		9			0			5			PCT							
	NO				1					05/14/98		PCT							
	NO.				5	읔	6	5	5	11/11/99	2	PCT							
	VO	+	7	8	5	$^{\prime 1}$	8	8	4	07/08/00	_	Germany					ļ		
	10		TF	<u>+</u> IER	<u> </u> . D	OC OC	UME	NT	'S	04/26/01 (Includi	no.	g Author, Title, Date,	Pertinen	t Pac	es	, Etc.	.)		<u> </u>
		_	Т																
		-	\dagger				•						· ·						.
		I	Ţ																
			\perp																
		L	1																
		+	4																
		-	+																
-		+	+	-															
			1																
EXAMINE	₹											DATE CONSIDERED							
EXAMINE	₹:	In:	Ĺti	al	. i	f	cit	at	iic	on consid	le:	red, whether or not cit	ation is	in c	nor	formar	nce	with	MPEP
609; Dra	WE	liı	ìe	th	ro	ug	h c	cit	at	ion if n	10	t in conformance and no	t consid	ered.	. I	nclude	e co	ору о	f
this for	cm ·	wit	h	ne	xt	C	omn	ıun	iic	cation to) (applicant.							

Form PTO COMMERCE	-14 PF	4 S	O EN:	r ,	U AN	.s	TRA	DE I	PARTMENT O	F CE	ATTY. DOCKET NO.				SI	ERIAL 1	NO.		
I	NFC	RM.	ľAl	`I(NC	D:	ISC	LO	SURE CANT	-	1211 DIV				To Be Assigned (DIV of 09/877,639)				
(Use se	ve	ca.	<u>l</u>	sh	ee	ts	i:	E 1	necessary)										
				_	_						A DDV TONYS								
											APPLICANT James F. McGuckin, Jr.,	et a	al						
											FILING DATE Herwith		GROUP Art Unit: Unknown						
VAMTARRI									·	,	U.S. PATENT DOCUMENT								
XAMINER NITIALS				NU	UM	EF	1		DATE		NAME		CLAS	SSUBO	CLASS] 1	G DATE F PRIATE		
		_			6 2		6		05/05/98		Edoga								
				_	0	1	5		08/11/98 09/01/98		Van Cleef Anderson, et al				· ·				
			_		0	8		7			Laufer, et al								
		5 8			5	6		1	 		Bessler, et al			-		 			
		5 8	3	8	5	2	5	8	03/23/99		Sachdeva, et al		_	+		ļ			
		5 9			2	3		7		F	(leshinski, et al	$\neg +$		 					
		5 9			7	9		9		T	eonhardt, et al								
		5 (4		8	9	01/11/00	F	Farley, et al								
		5 (9		03/07/00	E	Tarley, et al								
		1	7	3	6	0	8	7	03/14/00	102	aufer, et al REIGN PATENT DOCUMENTS					L			
									,	COL	REIGN PATENT DOCUMENTS								
					OCU		ENT ER		DATE		COUNTRY			UBCLA		TRANSLATION			
	_	<u> </u>														YES	NO		
	_	_		L	╀	4	4	\downarrow											
	\dashv			⊢	+	+	+	+	_	\dashv			_						
	_	-		├	+	+	+	+		\dashv		╂					<u> </u>		
	_			H	t	\dagger	\top	†		-		╂	-		-+		 		
		ΓO	HE	R	DC	oct	JME	NT	S (Includi	inc	Author, Title, Date, Perti	nent	Paσ	es. E	tc.)		<u> </u>		
·														, -	,				
														-					
	\dashv																		
	ŀ	\dashv																	
	\dashv	\dashv										·, ·,							
	ŀ	\dashv	_				-					17 "				 -			
	_																		
	Ì															·			
<u>L_</u>	[
EXAMINER											DATE CONSIDERED				<u> </u>				
ZVAMTAIDD	т.			. 1	•					\perp		-							
SUO: Dram PVAMTNEK:	ın.	ııt Do	.1ć	il ·h·	1:	L (cıt b	at	lon consid	aei	red, whether or not citation in conformance and not con	is	in c	onfor	manc	e with	MPEP		
this form	wi	th	ır	ie:	xt	C	Omm	un	ication to	200	applicant	этае	reu.	THCT	uue	сору о) <u>T</u>		

Form PT	0-1	449))	(J.:	S.	DE	PA	RTMENT O	F	ATTY. DOCKET NO.				T	SE	RIAL 1	NO.			
									ARK OFFIC	Œ	1211 DIV					To Be Assigned					
		ORM TEM															of 77,639	9)			
(Use s	eve	eral	. s	hee	ets	s i	f	ne	cessary)												
				 -							APPLICANT	-		<u> </u>							
											James F. McGuckin, Jr., e	et a	1								
											FILING DATE Herewith				GI	GROUP Art Unit Unknown					
										Ţ	J.S. PATENT DOCUMENT										
EXAMINER INITIALS				CUI					DATE		NAME	(CLA	ss	SUBCLA		1	G DATE F PRIATE			
		6 (03/28/00	-	rantzen										
	\dashv	6 () 8		2	2 7 L 6			06/06/00 06/27/00		Farley, et al										
	-) 8						07/11/00	1	Chen, et al Duerig, et al				····						
	\dashv	6 1	_						10/10/00		Love	\dashv		\dashv			-				
	\dashv	6 1	_			$\frac{3}{2}$			10/24/00		Barbut, et al	-+		-							
	\dashv	6 1	+				1	6	10/31/00	i N	Mikus, et al	+		-		_					
	寸	6 1	-	_					11/21/00		Laufer, et al	+			· · · · · ·	_					
	\neg	6 1	_			3 7			01/30/01	_	Ouerig, et al	$\neg +$		\neg		_					
		6 2	2 2			5 2			05/01/01	-	Steinke					-		1			
		6 2	2 3	1	5	6		1 0	05/15/01	F	razier, et al		-								
									F	OI	REIGN PATENT DOCUMENTS										
			DOCUMENT DATE NUMBER								COUNTRY	CLAS	ss	SU	BCLASS		RANSL	ATION			
							_									L	YES	NO			
-		╁┤		+	\dashv	-	-			\dashv						\perp		ļ			
		+	+	+	-	\dashv	-			\dashv			_			+		ļ			
		╅┤	\dashv	+	┪	+	\dashv			\dashv						╁					
		+	_	\dashv	┪	\dashv	ᅱ			\dashv			\dashv			╁					
		OT	HE:	R D	oc	UMI	ΞN'	TS	(Includi	.nc	Author, Title, Date, Pertin	ent	Pa	ges	s, Etc	.)		1			
		\square				_															
																	-	·			
		H																			
																					
EVANTNED										_	DAME CONSTRUCTO										
EXAMINER											DATE CONSIDERED										
EXAMINER	: I	nit	ia	1 i	f	ci	ta	ti	on consid	le:	red, whether or not citation	is	in	COI	nforma	nce	e with	MPEP			
this for	w 1 m w	ine ith	n	nro ext	ug : c	om in	ci nu:	ta ni	tion if n cation to	ot o a	t in conformance and not cons	ide	rec	1.	Includ	e d	сору с	of			

Form	PTO-	14	49		Ü	.s.	Di	EP.	ARTMENT OF	T	ATTY. DOCKET NO.							
COMME	RCE	PA'	TEN	T A	ME	T C	RAE	Œ	MARK OFFICE							SE	RIAL	NO.
	ST	AT I	EME	NT	BY	AE	PL	·IC	SURE CANT		1211 DIV				([ΙV	e Ass of 77,63	igned 9)
(Use	sev	er	al	sh	ee	ts .	i f	n	ecessary)	L			•					
																¥		
											APPLICANT James F. McGuckin,	Jr., et	al					
											FILING DATE Herewith				GR		P Art Unkno	Unit: wn
EVAMINE	<u>ы</u>	г —								U.5	S. PATENT DOCUMENT							
EXAMINE INITIAL				NUI	MB				DATE		NAME		CLA	ss	SUBCLA	SS]	G DATE IF PRIATE
	1		3						03/14/95		Pavenik, et al			\neg		\dashv	111 1 100	TRIAIL
	-		4			5 !	_		05/02/95	_	Anderson							
	+-	о 6		5		6 (01/05/99	\dashv	Bessler, et al							
	+			0		2 4			12/19/00 03/13/01	-	Jayaraman					\Box		
	+			5	_	1		_	07/10/01	-+	Pavenik, et al Baum, et al							
	_			8		3 3			09/11/01	_	Vazquez, et al			\dashv				
				9	_	7 2			09/18/01		Heath			-+		_		
		6	2	9	_	6			10/09/01	_	Shaolian, et al	·		+		\dashv		
	20	01	0	0	0	5	7	8	7 06/28/01		Oz, et al	·		\dashv				-
									FOF	REI	GN PATENT DOCUMENTS					1		
		T														·		
		DOCUMENT DATE NUMBER									COUNTRY				BCLASS		RANSL	ATION
		+		_	_	7											YES	NO
		┰	+-	+-	L	+		├-		<u> </u>						L		
		+	┿	+		╁╾╁	-	-										
		╅	十	+		+		-		-								<u> </u>
		+	╅	T	_	╅┪		\vdash	 	-		-+-				_		
		C	TH	ER	DO	CUM	EN	TS	(Including	g A	author, Title, Date, Pe	ertinent	Pag	ges	, Etc.	.)		<u> </u>
		\top	T															
		F	Ŧ															
		1	1									·						
	-	+	+															
Ì		\vdash	╁												•			
		+	\dagger															
EXAMINE	D																	
PVVLITIAE	11									DΑ	TE CONSIDERED							
EXAMINE	R:]	[ni	tia	al	if	Сi	ta	ti	on consider	red	, whether or not citat	tion is	<u> </u>	20-	for-			MDD
007, DI	aw 1	ι т і .		ידנוט	ou	qn	CT	ιa	tion if not cation to a	C 1	n conformance and not	conside	ered.	. I	nclude	3 C	opy c	of
										FF		····						

Form PT	0-:	144	19	NT TT	7. N	J.S	T.D.7	DEF	PARTMENT O	F	ATTY. DOCKET NO.				Si	ERIAL 1	NO.	
	INE	FOF	RM/	ΓT	ON	D:	ISC	LO	SURE CANT	CE	1211 DIV				To Be Assigned (DIV of			
															09/	877,639	9)	
(Use s	ev	er	al	S	hee	ets	<u>i</u> :	f r	necessary)		·							
	•				-	-			-		APPLICANT James F. McGuckin, Jr., e	t al						
											FILING DATE Herewith				GRO	JP Art Unknow		
		,,								١	U.S. PATENT DOCUMENT							
XAMINER NITIALS					CUN UMI				DATE		NAME	C	CLAS	SSUBC	FILING DAT BCLASS IF APPROPRIAT			
					2		2		10/1996		Lazarus, et al			+		ALLINO	FKIALE	
					7		5		03/1995		Marin, et al							
	-	5		4 2				_	08/1995 10/1998		Sigwart, Ulrich							
	-	6			4		4			_	Williams, Michael McNamara, et al	-				 		
		6			4		4		12/1999		Banas, et al	-				 	· · · · · ·	
		6		-					02/2000		Suh, et al					 		
		_	1					2			Swanson, et al			1				
	_	6			4						Vilk, et al						7 11	
	_	6			9		3		10/2001		Schmitt, et al							
		6			5 3			2	07/2002 01/2003		Khosravi, et al			_				
				1	1		9		01/2003		Ouerig, et al Grudem, et al					-		
		1					<u></u>				REIGN PATENT DOCUMENTS			<u> </u>			<u> </u>	
			DOCUMENT DATE NUMBER								COUNTRY	CLAS	s s	SUBCLA		TRANSL	ATION	
	· · · · · · · · · · · · · · · · · · ·													1.12.1		YES	NO	
		+	+	+	+	-+	-	+										
		+	+	+	+	-+	+	+		\dashv	7	-	-					
		\dagger	+	+	\dashv	\top	\top	+					\dashv					
													1		\dashv	• • • • • • • • • • • • • • • • • • • •		
		C	Τŀ	HEF	R D	ocī	JME	NT.	S (Includi	ing	g Author, Title, Date, Pertin	nent	Pag	es, E	tc.)		L	
		L	\perp						-									
		+	+															
		\vdash	+							-						·		
		T	I								***	-						
		\perp	\perp													-		
ĺ		L	4															
	_	+	+								·							
		\vdash	+															
EXAMINER											DATE CONSIDERED			·				
609; Dra	۸Ì ـ	Lir	ıe	th	ro	ug)	h c	it.	ation if n	not	red, whether or not citation to in conformance and not consapplicant.	is i siden	n c	onfor Incl	manc ude	e with copy c	MPEP of	